

10/4/01

# UTILITY PATENT APPLICATION TRANSMITTAL

## (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.

883933.00

Total Pages in this Submission

**TO THE ASSISTANT COMMISSIONER FOR PATENTS**Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**METHOD FOR CLONING ANIMALS WITH TARGETTED GENETIC ALTERATIONS  
BY TRANSFER OF LONG-TERM CULTURED MALE OR FEMALE SOMATIC CELL NUCLEI,  
COMPRISING ARTIFICIALLY-INDUCED GENETIC ALTERATIONS,  
TO ENUCLEATED RECIPIENT CELLS**

and invented by:

Xiangzhong YANG  
Chikara KUBOTA

**If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:**

Continuation  Divisional  Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1.  Filing fee as calculated and transmitted as described below
2.  Specification having 56 pages and including the following:
  - a.  Descriptive Title of the Invention
  - b.  Cross References to Related Applications (if applicable)
  - c.  Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d.  Reference to Microfiche Appendix (if applicable)
  - e.  Background of the Invention
  - f.  Brief Summary of the Invention
  - g.  Brief Description of the Drawings (if drawings filed)
  - h.  Detailed Description
  - i.  Claim(s) as Classified Below
  - j.  Abstract of the Disclosure

post card

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**Application Elements (Continued)**

3.  Drawing(s) (when necessary as prescribed by 35 USC 113)  
a.  Formal      b.  Informal      Number of Sheets \_\_\_\_\_ 4

4.  Oath or Declaration  
a.  Newly executed (original or copy)       Unexecuted  
b.  Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)  
c.  With Power of Attorney       Without Power of Attorney  
d.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).

5.  Incorporation By Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under  
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.

6.  Computer Program in Microfiche

7.  Genetic Sequence Submission (if applicable, all must be included)  
a.  Paper Copy  
b.  Computer Readable Copy  
c.  Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

8.  Assignment Papers (cover sheet & documents)

9.  37 CFR 3.73(b) Statement (when there is an assignee)

10.  English Translation Document (if applicable)

11.  Information Disclosure Statement/PTO-1449       Copies of IDS Citations

12.  Preliminary Amendment

13.  Acknowledgment postcard

14.  Certificate of Mailing  
 First Class     Express Mail (Specify Label No.): EL664115563US

**UTILITY PATENT APPLICATION TRANSMITTAL  
(Small Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
883933.0053

Total Pages in this Submission

**Accompanying Application Parts (Continued)**

15.  Certified Copy of Priority Document(s) (*if foreign priority is claimed*)
16.  Small Entity Statement(s) - Specify Number of Statements Submitted: \_\_\_\_\_
17.  Additional Enclosures (*please identify below*):

**Petition Requesting Entry of Photographs Under Rule 1.17(h) and Rule 1.84**

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

18.  Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

**Warning**

***An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.***

01-08-01

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TO/40/TO  
JC960 U.S. PTO  
UTILITY PATENT APPLICATION TRANSMITTAL  
(Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
883933.0053

Total Pages in this Submission

jc960 U.S. PTO  
09/755204  
01/04/01

Fee Calculation and Transmittal

CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	47	- 20 =	27	x \$9.00	\$243.00
Indep. Claims	10	- 3 =	7	x \$40.00	\$280.00
Multiple Dependent Claims (check if applicable)	<input type="checkbox"/>				\$0.00
				<b>BASIC FEE</b>	<b>\$355.00</b>
OTHER FEE (specify purpose)					\$0.00
				<b>TOTAL FILING FEE</b>	<b>\$878.00</b>

A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.

The Commissioner is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below. A duplicate copy of this sheet is enclosed.

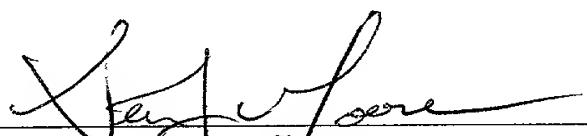
Charge the amount of \_\_\_\_\_ as filing fee.

Credit any overpayment.

Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.

Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: Jan. 4, 2001

  
Signature

Steven J. Moore, Reg. No. 35,959  
Attorney for Applicants  
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New Haven, CT 06509-1960  
Telephone: (203) 351-4333

cc:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
 Xiangzhong YANG )  
 Chikara KUBOTA )  
 Serial No.: To be Assigned )  
 Filed: Concurrently herewith )  
 For: **METHOD FOR CLONING** )  
**ANIMALS WITH TARGETTED** )  
**GENETIC ALTERATIONS BY** )  
**TRANSFER OF LONG-TERM** )  
**CULTURED MALE OR FEMALE**)  
**SOMATIC CELL NUCLEI,** )  
**COMPRISING ARTIFICIALLY-**)  
**INDUCED GENETIC ALTERA-**)  
**TIONS, TO ENUCLEATED** )  
**RECIPIENT CELLS** )

Group Art Unit:

Examiner:

jc960 U.S. PTO  
 09/755204  
  
 01/04/01

BOX PATENT APPLICATION  
 Commissioner for Patents  
 Washington, D.C. 20231

"Express Mail Mailing Label Number: EL664115563US  
 Date of Deposit: January 4, 2001

I hereby certify that the attached Patent Application (56 pages); 4 sheet of informal drawings; Declaration, Power of Attorney, and Petition (unexecuted); Transmittal Letter in duplicate; Petition Requesting Entry of Photographs Under Rule 1.17(h) and Rule 1.84; and a return postal card, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to: BOX PATENT APPLICATION, Commissioner for Patents, Washington, D.C. 20231.

  
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Date: January 4, 2001  
 .StmLib1:859968.1 01/04/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
Xiangzhong YANG )  
Andras DINNYES ) Group Art Unit:  
Serial No.: To be Assigned ) Examiner:  
Filed: Concurrently herewith )  
For: **OOCYTE VITRIFICATION** )  
**TECHNIQUE** )

BOX PATENT APPLICATION  
Commissioner for Patents  
Washington, D.C. 20231

"Express Mail Mailing Label Number: EL664115594US  
Date of Deposit: January 4, 2001

I hereby certify that the attached Patent Application (29 pages); 1 sheet of informal drawings; Declaration, Power of Attorney, and Petition (unexecuted); Transmittal Letter in duplicate; and a return postal card, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to: BOX PATENT APPLICATION, Commissioner for Patents, Washington, D.C. 20231.



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Date: January 4, 2001